

Serial No. 09/768,301
Response dated April 29, 2005
Reply to Office Action of April 21, 2005

Docket No. K-0254

Amendments to the Specification:

Please insert the following paragraphs before the first paragraph on page 5:

An aspect of the present invention is based on generating differential log records using the bit-wise exclusive-OR (XOR) operations, and applying the differential log records in an arbitrary order to roll forward for the redo operation and roll back for the undo operation. That the execution order is independent from the order of log record creation is based on the following mathematical observations.

Definition of the differential log record

If an update operation using transaction changes the value b_{t-1} of a slot (the slot denotes a part of the database; it can be a field, a record, or any other database object) to b_t , then the corresponding differential log record Δ_t is defined as $b_t \oplus b_{t-1}$, where b_t is the slot after the t -th update occurs, \oplus denotes the bit-wise XOR operation, and b_{t-1} is the slot before the t -th update occurs.

Theorem 1: Recoverability (for redo and undo) using differential log records

Assume that the value of a slot has changed from b_0 to b_m by m number of updates,

Serial No. 09/768,301
Response dated April 29, 2005
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Docket No. K-0254

and each update u_t ($t = 1, \dots, m$) has generated the differential log record Δ_t . Then, the final value b_m can be recovered (for the redo operation) from using the initial value b_0 and the differential log records. In the same way, the initial value b_0 can be recovered (for the undo operation) from using the final value b_m and the differential log records.

(Proof)

XOR operations are commutative and associative. For any binary numbers, p , q , and r ,

$$\begin{aligned} p \oplus q &= q \oplus p && \text{(Commutativity)} \\ (p \oplus q) \oplus r &= p \oplus (q \oplus r) && \text{(Associativity)} \end{aligned}$$

Therefore,

i) Recovery of b_m from b_0 :

$$\begin{aligned} b_0 \oplus \Delta_1 \oplus \Delta_2 \oplus \dots \oplus \Delta_m \\ &= b_0 \oplus (b_0 \oplus b_1) \oplus (b_1 \oplus b_2) \oplus \dots \oplus (b_{m-1} \oplus b_m) \\ &= (b_0 \oplus b_0) \oplus (b_1 \oplus b_1) \oplus \dots \oplus b_m \\ &= 0 \oplus \dots \oplus 0 \oplus b_m \\ &= b_m \end{aligned}$$

ii) Recovery of b_0 from b_m :

$$\begin{aligned} b_m \oplus \Delta_m \oplus \Delta_{m-1} \oplus \dots \oplus \Delta_1 \\ &= b_m \oplus (b_{m-1} \oplus b_m) \oplus \dots \oplus (b_0 \oplus b_1) \\ &= b_m \oplus (b_m \oplus b_{m-1}) \oplus \dots \oplus (b_1 \oplus b_0) \\ &= (b_m \oplus b_m) \oplus (b_{m-1} \oplus b_{m-1}) \oplus \dots \oplus b_0 \\ &= 0 \oplus \dots \oplus 0 \oplus b_0 \\ &= b_0 \end{aligned}$$

Serial No. 09/768,301
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Docket No. K-0254

Theorem 2: Order-independence of redo and undo operations

For redo operations, given the initial value b_0 of a slot and differential log records Δ_t , where $t = 1, \dots, m$, the final value b_m can be recovered (for the redo operation) from applying the differential log records in an arbitrary order. In the same way, the initial value b_0 can be recovered (for the undo operation) from applying the differential log records in an arbitrary order.

(Proof)

Assume that differential log records are applied in the order of $\Delta_{(1)}, \Delta_{(2)}, \dots, \Delta_{(m)}$ where $\Delta_{(t)}$ is selected in an arbitrary order from the set of sequentially-generated differential log records $\{\Delta_1, \dots, \Delta_{m-1}, \Delta_m\}$.

Then, the final value of the slot is

$$b_0 \oplus \Delta_{(1)} \oplus \Delta_{(2)} \oplus \dots \oplus \Delta_{(m)}$$

Since \oplus is commutative the order of applying $\Delta_{(k)}$ can be changed into the following sequence.

$$b_0 \oplus \Delta_1 \oplus \Delta_2 \oplus \dots \oplus \Delta_m$$

This completes the proof for the redo operation.

Serial No. 09/768,301
Response dated April 29, 2005
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Docket No. K-0254

The same proof applies to the undo operations.

Theorem 3: Order-independence between redo and undo operations

Assume that there are n differential log records to be redone, whose redo operations are denoted by R_i ($i = 1, \dots, n$), and m differential log records to be undone, whose undo operations are denoted by U_j ($j = 1, \dots, m$). Then, all the following execution sequences result in the same state of the database.

Sequence 1. (undo phase after redo phase) $R_1, R_2, \dots, R_n, U_1, U_2, \dots, U_m$

Sequence 2. (redo phase after undo phase) $U_1, U_2, \dots, U_m, R_1, R_2, \dots, R_n$

Sequence 3. (redo and undo in a single phase) any permutation of $\{ R_1, R_2, \dots, R_n, U_1, U_2, \dots, U_m \}$ (for example, $R_1, U_1, R_2, R_3, U_2, \dots, R_n, \dots, U_m$)

(Proof)

The theorem results from the commutative and associative properties of XOR operations involved in the redo and undo operations.